Receipt date: 06/30/2005

10541269 - GAU: 1795

JC14 Rec'd PCT/PTO 3 0 JUN 2005

93527.1

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

Complete if Known To be assigned **Application Number** Filing Date Filed Herewith 30 June 2005 First Named Inventor LENDLEIN, Andreas Art Unit To be assigned

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Examiner Name <u>To be assigned</u> Attorney Docket Number **GRUNECK 0009-US** three one Sheet

			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ^{2 (f known)} US- 2 004 075		00110511	1 iguies Appeal
		3,694,075	07-08-1975		
		^{US-} 4,035,548	07-12-1977		
		^{US-} 4,085,092	04-18-1978	CHANG et al.	
		^{us-} 4,857,579	08-15-1989	DOMEIER	
		^{us-} 4,923,934	05-08-1990	WERNER	
		^{us-} 5,098,776	03-24-1992	KOBAYASHI et al.	
		^{US-} 5,155,199	10-13-1992	HAYASHI	
		^{US-} 5,442,037	08-15-1995	LEE et al.	
		^{US-} 6,156,842	12-05-2000	HOENIG et al.	
		^{us-} 6,160,084	12-12-2000	LANGER et al.	
·		^{US-} 6,479,222	11-12-2000	JONES et al.	
		^{US-} 6,852,825	02-08-2005	LENDLEIN et al.	
		^{US-} 2004/0014929 A1	01-22-2004	LENDLEIN et al.	
		^{US-} 2004/0024143 A1	02-05-2004	LENDLEIN	
		US-			

		FORE	IGN PATENT DOC	JMENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T ⁸
		DE 689 07 553 T2	05-09-1990	Mitsubishi Jukogyo KK		
		DE 689 08 081 T2	05-05-1990	Mitsubishi Jukogyo KK		
		DE 694 26 882 T2	04-04 1996	Tongyang Nylon Co. Ltd		
		EP 0 422 693	04-17-1991	Thoratec Labs Corp.		
		EP 0 696 605	02-14-1996	Neuenschwander et al.		
		WO 99/42147	08-26-1999	M.I.T.		

Examiner	AMOUNT TO A MAN A	Date	40/00/0000
Signature	/Thorl Chea/	Considered	10/20/2009
_	/ mon onea		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Senter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Receipt date: 06/30/2005

10541269 - GAU: 1795

Sheet

JC14 Rec'd PCT/PTO 3 0 JUN 2005

69

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

three

Complete il Knowii						
Application Number	To be assigned 2412					
Filing Date	Filed Herewith 30 June 2005					
First Named Inventor	LENDLEIN, Andreas					
Art Unit	To be assigned					
Examiner Name	To be assigned					
Attorney Docket Number	GRUNECK 0009-US					

Examiner	Cite	Document Number	U. S. PATENT D	Name of Patentee or	Pages, Columns, Lines Where
Initials*	Cite No. ¹	Number-Kind Code ^{2 (# known)}	MM-DD-YYYY	Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevan Figures Appear
		US-			
		US-			
**		US-			
* *		US-			
_		US-			
		US-			
		us-			
 		US-			
		US-			

Examiner Initials*	Cite No.1	FORE Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T⁵
		WO 99/42528	08-26-1999	MNEMOSCIENCE GMBH		
		WO 01/91822	12-06-2001	MNEMOSCIENCE GMBH		
		WO 03/084490	10-16-2003	MNEMOSCIENCE GMBH		
		WO 03/084489	10-16-2003	MNEMOSCIENCE GMBH		
		WO 03/084491	10-16-2003	MNEMOSCIENCE GMBH		

			(
Examiner	·	Date	l '
	err 101 /	1	40/00/000
Signature	/I horl Chaa/	Considered	I 10/20/2004
9	/ I II O I C I C a/		10/20/2003

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation it in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the Individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Receipt date: 06/30/2005 10541269 - GAU: 1795

JC14 Rec'd PCT/PTO 3 0 JUN 2005

PTO/SB/08B (08-03)

Approved for use through 07/31/2006, OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449/PTO				e required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known		
				Application Number	To be assigned 1 /5 /14 2 /3	
INFO	DRMATIO	N DIS	CLOSURE	Filing Date	Filed Herewith 30 June 2005	
STA	TEMENT	BY A	PPLICANT	First Named Inventor	LENDLEIN, Andreas	
	(Use as many sh	aote se n	acaeean/l	Art Unit	To be assigned	
	1030 as many si		ecessary,	Examiner Name	To be assigned	
Sheet	three	of	three	Attorney Docket Number	GRUNECK 0009-US	

Examiner	Cite	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	
Initials*	No.1	the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		International Search Report for PCT/EP03/14414, published as WO 2004/062706.	
		KIM, B. K. et al. (1996) "Polyurethanes having shape memory effects," Polymer 37/26:5781-5793.	
		LENDLEIN, A. et al, "AB-Polymer Networks Based On Oligo(epsilon-Caprolactone) Segments Showing Shape-memory Properties," Proc. Natl. Acad. Sci. USA, vol. 98, no. 3, January 2001 (2001-01), Pages 842-847, XP002251532.	
		LENDLEIN, A. et al, "Formgedächtnispolymere," Angewandte Chemie, vol. 114, no. 12, 17 June 2002 (2002-06-17), pages 2138-2162, XP002251533.	
		DATABASE WPI, Section Ch, Week 199214, Derwent Publications Lt., London, GB; Class A12, AN 1992-109202 XP002251534 & JP 04 050234 A (Asahi Chem Ind Co Ltd), 19 February 1992 (1992-02-19).	
		PATENT ABSTRACTS OF JAPAN, vol. 016, no. 213 (C-0942, 20 May 1992 (1992-05-20) & JP 04 0451416 A (Noevir Co Ltd; Others: 01), 12 February 1992 (1992-02-12).	
		·	

Examiner	The oil Close of	Date	10/20/2000
Signature	/ I hori Chea/	Considered	10/20/2009

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.